SForm PTO-1449 (Rev. 2-32) Department of Commerce attent & Trademark Office INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Atty. Docket No.	09/	Serial No. 09/454,978	
(Us	e several sheets if necessary)	Applicant Peter E. RAYNER, et al.				
APR 0 5 2001			Filing Date December 3, 1	Group 2768		
		USEMATEN	T DOCUMENTS			
Examiner Initial	Document Number	Date	Name	Class	Sub- Class	Filing Date (if appropriate)
G	5,890,138	3/30/99	Godin, et al.	705	26	8/26/96
(A)	5,873,071	2/16/99	Ferstenberg, et al.	705	37	5/15/97
A	5,864,827	1/26/99	Wilson	705	35	6/27/97
A	5,842,178	11/24/98	Giovannoli	705	26	1/30/98
(g)	5,832,505	11/3/98	Kasso, et al.	707	104	4/2/97
GA	5,809,483	9/15/98	Broka, et al.	705	37	11/14/97
(A)	5,797,127	8/18/98	Walker, et al.	705	5	12/31/96
ØÅ.	5,794,219	8/11/98	Brown	705	37	2/20/96
18	5,787,402	7/28/98	Potter, et al.	705	37	10/8/96
(1)	5,765,141	6/9/98	Spector	705	14	10/6/95
A	5,761,661	6/2/98	Coussens, et al.	707	9	7/14/94
(A)	5,749,077	5/5/98	Campbell	705	36	1/23/97
THE PROPERTY OF THE PROPERTY O	5,717,989	2/10/98	Tozzoli, et al.	705	37	10/13/94
(A)	5,710,889	1/20/98	Clark, et al.	-39 5 35	-2479	6/7/95
A	5,692,233	11/25/97	Garman	705	36	2/3/95
(A)	5,557,517	9/17/96	Daughterty, III	-364 785	-408 27	7/29/94
CD	5,500,793	3/19/96	Deming, Jr., et al.	364705	497	9/2/93
(A)	5,375,055	12/20/94	Togher, et al.	-364705	-408 37	2/3/92
A	5,339,392	8/16/94	Risberg, et al.	-3957dK	+61/2	12/28/90
(A) +	5,305,200	4/19/94	Hartheimer, et al.	705	37	11/2/90
CS *	5,297,032	2/1/91	Trojan, et al.	705	37	2/01/91
GA)	5,297,031	3/22/94	Gutterman, et al.	-364705	40837	3/6/90
OF	5,258,908	11/2/93	Hartheimer, et al.	364705	4087	11/2/90
GA	5,136,501	8/4/92	Silverman, et al.	-364705	40829	5/26/89
GF	5,126,936	6/30/92	Champion, et al.	-364705	408/	9/1/89

^{*} References cited in parent (U.S. Serial No. 08/836,713), and not provided herewith.

1	*	5,113,499	5/12/92	Ankney, et al.	3%	5.74	4/28/20
4	_	5,101,353	3/31/92	Lupien, et al.	.370 364 11	408	5/31/89
Og A		5,095,429	3/10/92	Harris, et al.	364	408	8/28/90
4	_	5,077,665	12/31/91	Silverman, et al.	364	408	5/25/89
(A	*	4,975,865	12/4/90	Carrette, et al.	700	<u> </u>	5/81/8
TA	*	4,942,616	7/17/90	Linstroth, et al.	704	215-	10994
(A)	*	4,903,201	2/20/90	Wagner		37	1/3/83
FA	*	4,825,050	4/25/89	Griffith, et al.	235	319	27/Port
CAT		4,823,265	4/18/89	Nelson	364106	-4982	91 1/87
A	*	4,789,928	6/15/88	Fujisaki	705	37	1/30/8
GA T		4,774,662	9/27/88	Ito, et al.	364	4012	3/21/86
Sp	*	4,677,552	6/30/87	Sibley, Jr.	705	37	10/5/8
GA-	*	4,674,044	6/16/87	Kalmus, et al.	165	37	1/30/8
9AY		4,412,287	10/25/83	Braddock, III	3647/05	4087	9/15/82
		FO	REIGN PAT	ENT DOCUMENTS	3		
Æ	*	WO 91/14231	3/6/90	PCT	1,111,111		
(X)	*	EPO 0512702 A2	5/3/91	European Union			
~A	*	EPO 0388162 A2	3/14/90	European Union			
2	*	GB 2277389 B	3/17/94	Great Britain			
A	*	EPO 0434224 A2	11/22/90	European Union	,,		
	*	EPO 0471063 B1	2/27/92	European Union			
(A)	*	GB 2161003 A	6/28/85	Great Britain	<u>.</u>		
<u> </u>	*	GB 2165421 A	4/9/86	Great Britain			
O A	*	EPO 0513484 A2	2/27/92	European Union			
	*	EPO 0401203 A2	5/30/90	European Union			
TO-		WO 95/26005	9/28/95	Belzberg	G06F	17/60	3/3/95
(4)							
\sqrt{\sq}\sqrt{\sq}}\sqrt{\sq}}}}}}}}}}\sqit{\sqrt{\sqrt{\sq}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}}		EP 0 762 304 A1 WO 98/53417	3/12/97	Friedman, et al.	G06F	17/60	9/14/95
(>1		i W/L10X/53/11/	11/26/98	Aziz, et al.	G06F	19/40	5/19/97

^{*} References cited in parent (U.S. Serial No. 08/836,713), and not provided herewith.

rial No. 09/	т	78 Sheet 3 of Anonymous, Automation of foreign exchange activity in Supplement to Corporate
RF.	*	Finance, pp. 20-23, September, 1992
(8)	*	Orfali, Robert and Harkey, Dan, "Client server survival guide with OS/2," 1994 by Nostrand Reinhold, pp. 386-391
(b)	*	Chon, S., Jo, J., and Park, Y., Time-out situation signaling method for real-time OS – involves calling ***interrupt*** service routine and processing ***timeout*** request, KR 9407830 B, ABSTRACT, 1 page, June 18, 1996
(A)	*	Anonymous, Financial Information Exchange Protocol, Version 2.7(a), pp. i-iv, 1-9, 40-41, January 17, 1995
OF.	*	Interactive Brokers LLC, "Real time global electronic trade execution," Interactive Brokers Brochure, October 16, 1997
A	*	Opposition by Deutsche Bank AG (German and translated versions) with attachments (German and translated versions), dated December 19, 1997, having EPO file number 0384-49.676EP-kö
A	*	Opposition by Bayerische Vereinsbank AG (German and translated versions) with attachments (German and translated versions), dated December 19, 1997, having EPO file number 0384-49.676EP-kö
A	*	DTB Deutsche Terminborse GmbH (a) Rundschreiben No. 66/91 dated 6.8.1991 (German), (b) Letter of Mark Thornburgh dated December 16, 1997 (English)
OF	*	Confirmation of the QT Optec company dated December 12, 1997 (German) with Encl. 1 to 3 (German/English)
A	*	Extract from the stock exchange regulations of the German Futures Exchange DTB of March, 1995 (German)
A	*	Anwenderhandbuch "OPTIONSSCHEINGESCHAFT," dated December 2, 1997, pp. 1-22 (German)
CA.	*	DIOS Kurzbeschreibung, SGZ-Bank, September 26, 1994 (German)
A	*	DIOS Prospekt, SGZ-Bank, 4/95 (German)
A F	*	Ablauf von DIOS Bildschirmmasken (German)
9	*	Begriff der Reaktionszeit im DIOS, dated May 25, 1994
À	*	DIOS Schulungsunterlagen, SGZ-Bank, dated 10./11.10.1994
A	*	Rundschreiben of the SGZ-Bank to the Volks- and Raiffeisenbanken / 4 letters, dated 15.08.1995, 13.04.1995, 04.07.1994, 10.08.1995 (German)
<u>~</u> ^	*	INFORMATION / Matarbeiterzeitung der SGZ-Bank / September, 1994, pp. 1-2

Rundschreiben of the SGZ-Bank to the Volks- and Raiffeisenbanken / 2 letters, dated

Notice from Mrs. Christa Franke, dated January 31, 1995, to Herrn Dr. Franke and Herrn

Declaration "Christa Franke" of December 18, 1997, together with Notice to Herrn Dr.

Message from REUTER of January, 1995 concerning CATS-OS (German)

11.10.1994 and 11.11.1994 (German)

Franke and Herrn Seip of February 3, 1995 (German)

(German)

Seip (German)

^{*} References cited in parent (U.S. Serial No. 08/836,713), and not provided herewith.

Sheet 4 of 5	•		_		
	erial No. 09/454,978			Sheet 4	of 5

Serial No. 09/4	454,9°	
	*	Extract from "Wirtschaftswoche," No. 5 / 28.1.1995, p. 88 (German)
	*	"Computerwissen," Verlag Markt + Technik 1992, Haar/Munchen, p. 236/237 (German with English Translation)
A	*	Lecture by DiplMath. Steffen Rabmann, "Sicherheit in der Kommunikationstechnik," September, 1993 (German)
ØÅ.	*	Prospekt DIOS / Stand 2 / 1996 (German)
Ğ₽	*	Prospekt DIOS / Stand 4 / 1995 (German)
CA-	*	DIOS Pflegedialoge – Schulung – 4.10.1994 (German)
A	*	Letter Fiducia of April 10, 1995 (German)
A	*	Extract Prospekt FIDUCIA, 2729.6.1995 (German)
O	*	DIOS Pflegedialoge – Schulung – 4.10.1994 (German) Letter Fiducia of April 10, 1995 (German) Extract Prospekt FIDUCIA, 2729.6.1995 (German) Kurzbeschreibung, "Erste Schritte" of the DIOS System, dated May 10, 1995
CX-	*	"Bildschirmmasken" des DIOS Systems, dated December 8, 1997
A	*	Udo Bretschneider: PC für Einsteiger Data Becker, Düsseldorf, 1994: pages 512-513 (English Translation)
GA	*	DIOS: Documentation of a test of the request mode and of the refresh function of May 24, 1995
∞	*	DIOS: Printout from a display screen, dated June 19, 1995, showing the request mode
QA.	*	DIOS: Release planning of the DIOS system of November 15, 1996
GA-	*	Letter from SGZ-Bank to Volksbank eG, a participant in the pilot phase, dated July 21, 1994
GA)	*	Response to comment on the Oppositions by Siemens Nixdorf Informationssysteme AG
CA	*	Response to comment on the Oppositions by Bayerische Vereinbank AG
A	*	Response to comment on the Oppositions by Commerzbank AG
A	*	Response to comment on the Oppositions by Deutsche Bank AG
Q	*	Response to comment on the Oppositions by Deutsche Börse AG
A	*	Response to comment on the Oppositions by Schwizerischer Bankverein AG
A	*	Response to comment on the Oppositions by SGZ-Bank AG
A)	*	Author unknown, English Translation – <u>DIOS – Short Description</u> (at the start of the pilot phase); SGZ Bank, 26 September, 1994
GA .	*	Author unknown, English Translation – DIOS – III.2.5 Reaction time, version 11, page 47, May 25, 1994
A	*	Author unknown, English Translation – DIOS (brief overview); SGZ Bank, April, 1995
À	*	Brand, Rupp, Wiedl, English Translation – Performance catalog for MB foreign exchange, SGZ Bank, version 12, pages 6, 22, 79, 92, 99-100, 102, May 31, 1994

^{*} References cited in parent (U.S. Serial No. 08/836,713), and not provided herewith.

Serial No. 09/4	154,97	78	Sheet 5 of	t :				
	*	International Search Report for International Application No. PCT/EP96/03972, dated						
l (A		December 10, 1996 (mailing dat	December 10, 1996 (mailing date)					
		European Search Report for App	olication No. 99123955.9-2201, dated January 5, 2001					
A		Internet Site https://wpl.itn.net/c	gi/store (Reference Not Included)					
EXAMINER		11/11	DATE CONSIDERED					
EXAMINER: In	itial if ci	tation considered, whether or not citationis in conformered. Include copy of this form with next communic	nance with MPEP 609; draw line through citation if not in conformance and not ation.					

Form PTO-FB A820

(also form PTO-1449) C0464/183785/WSHLIB01:98874 Patent and Trademark Office- US DEPARTMENT OF COMMERCE

APR X SON

^{*} References cited in parent (U.S. Serial No. 08/836,713), and not provided herewith.

5Form PTO-1449 (Rev. 2-32) Department of Commerce Patent & Trademark Office INFORMATION DISCLOSURE STATEMENT			Atty. Docket No.	Serial No. 09/454,978					
(Use several sheets if necessary)			Applicant Pet	er E. RAYN	ER, et al.				
NPR 2 5 2001 2	(*)			Filing Date December 3, 1	Group	2768			
Evominer Evominer			U.S. PATEN	T DOCUMENTS	Γ DOCUMENTS				
Examiner Initial	Docur Num		Date	Name	Class	Sub- Class	Filing Date (if appropriate)		
A	6,058,	,378	5/2000	Clark, et al.	705	37			
GN.	5,987,	,432	11/1999	Zusman, et al.	705	35			
AR .	5,970,	,479	10/1999	Shepherd	705	37			
CAY	5,915,	,209	6/1999	Lawrence	455 340	31.2 -3;	1		
CA	5,893,	,079	4/1999	Cwenar	705	36			
GD-	5,788	5,788,224 8/1998		Platt	256	66			
OR	5,778	5,778,224 7/1998		Tobe, et al.	709	100			
- CAR	5,508	5,508,913 4/1996		Yamamoto, et al.	-364 705	408 37			
(A)	5,350	5,350,200 4/1994		Hartheimer, et al.	364 285	408/2			
$\widetilde{\mathcal{A}}$	5,270	5,270,922 12/1993		Higgins	705	37			
₩ .	5,175,	,797	12/1992	Funabashi, et al.	706	16			
	4,363	,363,489 12/1982		Chodak, et al.	273	237			
		FO.	REIGN PAT	ENT DOCUMENTS	3	<u> </u>			
A	WO 95/	06918	3/1995	Lupien, et al.					
GA/	UK 225	8061A	1/1993	Shyu					
	OTHER DOC	UMENT!	S (Including)	Author, Title, Date, 1	Pertinent Pag	es, Etc.)			
	ding System to Rout	_		SE's					
		Superdot," <i>Trading Systems Technology</i> , Vol. 5, No. 7, October 7, 1991 Schmerken, Ivy, "Chicago's Fate in a World of Futures," <i>Wall Street & Technology</i> , v.							
	•	10, n. 7, p. 22, February 1993							
EXAMINER	Mu	1 /	_	DATE CONSIDERED					
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 409; draw fine through citation if not in conformance and not considered. Include copy of this form with next communication.									

Form PTO-FB A820 (also form PTO-1449) C0464/183785/WSHLIB01:100061 Patent and Trademark Office- US DEPARTMENT OF COMMERCE